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Application Number	09/617,736
Filing Date	July 17, 2000
First Named Inventor	Xie et al.
Group Art Unit	
Examiner Name	
Attorney Docket Number	13837-037001

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Registered practitioner named in the application transmittal letter in an application without an executed oath or declaration. See 37 CFR 1.33(a)(1). Registration Number 45,748

Typed or  
Printed Name

Paul A. Levy, Reg. No. 45,748

Signature

Date

10/3/02

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

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## PATENT ASSIGNMENT AGREEMENT

WHEREAS, the undersigned, New Focus, Inc., a Delaware corporation, having a place of business at 5215 Hellyer Avenue, San Jose, California 95138 (the "Assignor") is the owner of the entire rights, title and interest in the patent properties listed on Schedule A (the "Assigned Patent Properties"); and

WHEREAS, Finisar Corporation, a Delaware corporation, having a place of business at 1308 Moffett Park Drive, Sunnyvale, California 94089 (the "Assignee"), is desirous of acquiring the Assigned Patent Properties and any rights in the Assigned Patent Properties for the good and valuable consideration set forth in that Intellectual Property Agreement by and between Assignor and Assignee dated May 10, 2002;

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by Assignor to have been received in full from Assignee:

1. Effective upon execution, Assignor does hereby sell, assign, transfer and convey unto Assignee, all of its rights, title and interest together with the benefits and privileges in and to all inventions and discoveries set forth in the Assigned Patent Properties.
2. Assignor hereby covenants and agrees to cooperate with Assignee to enable Assignee to obtain, sustain, enforce and enjoy to the fullest extent all rights, title and interest herein conveyed in any country. Such cooperation by Assignor shall include production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed reasonably necessary or desirable by Assignee, (a) for perfecting in Assignee the rights, title and interest herein conveyed; (b) for filing and prosecuting substitute, divisional, continuing or additional applications covering the Assigned Patent Properties; (c) for filing and prosecuting applications for re-issuance of any of the Assigned Patent Properties; (d) for interference or other priority proceedings involving the Assigned Patent Properties; and (e) for legal proceedings involving the Assigned Patent Properties for infringement actions and court actions; provided, however, that the expense incurred by Assignor in providing such cooperation shall be paid for by Assignee. In the event that Assignee is unable for any reason to secure Assignor's signature to any document required to apply for or execute any patent applications or patents (including improvements, renewals, extensions, continuations, divisions or continuations in part thereof), Assignor hereby irrevocably designates and appoints Assignee and its duly authorized officers and agents as Assignor's agent and attorney-in-fact to act for and in their behalf, and instead of Assignor, to execute and file any such applications and to do all other lawfully permitted acts to further the perfection, prosecution and issuance of patents or other rights therein with the same legal force and effect as if executed by Assignor.
3. Assignor warrants that they have not knowingly conveyed and shall not convey to others any rights in said inventions, discoveries, applications, patents or Assigned Patent Properties; and warrants that they have good right to assign the same to Assignee without encumbrance.
4. The terms and covenants of this Patent Assignment Agreement shall inure to the benefit of Assignee, its successors and assigns, and shall be binding upon Assignor and its successors and assigns.

IN WITNESS WHEREOF, Assignor has executed and delivered this instrument to Assignee effective the  
10th day of May, 2002.

ASSIGNOR: New Focus, Inc.

Today's

Date: 10 May 2002

By:

Title:

[Signature]  
Vice President, Operations

STATE OF CALIFORNIA

COUNTY OF Santa Clara ) ss.

On May 10, 2002 before me, Carol Burke, Notary Public, personally  
appeared Nadine Matys, personally known or proved to me on the basis of  
satisfactory evidence to be the person whose name is subscribed to the instrument and  
acknowledged to me that he/she executed the same in his/her authorized capacity and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed the  
instrument.

Witness my hand and official seal.

Notary Public

Carol Burke



ASSIGNEE: Finisar Corporation

By:

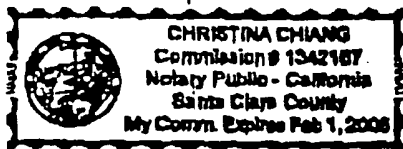
TITLE: President & CEO

STATE OF CALIFORNIA )  
COUNTY OF Santa Clara ) ss.

On June 5, 2002 before me, Christina Chiang, Notary Public, personally appeared Jerry Rauls, personally known or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal.

Notary Public



Schedule A

Assigned Patent Properties

Passives IP US Patents Patent #	Title	Inventors	Patent Issue Date	Responsible Firm and Attorney	Status
6,049,426 (10628-725)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	04/11/00	WSGR, David Abraham	Maintenance Fee due 10/11/2003
6,052,228 (10629-789)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	04/18/00	WSGR, David Abraham	Maintenance Fee due 10/18/2003
6,175,448 (10629-729)	Optical Circulators Using Beam Angle Turners	Ping Xie, Yonglin Huang	01/16/01	WSGR, David Abraham	Maintenance Fee due 07/16/2004
6,212,008 (10629-765)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	04/03/01	WSGR, David Abraham	Maintenance Fee due 10/03/2004
6,282,025 (NFC5-00- 001)	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	08/28/01	Sierra Patent Group, Tim Brisson	Maintenance Fee due 02/28/05
6,285,499 (10829-792)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	09/04/01	WSGR, David Abraham	Maintenance Fee due 03/04/2005
6,331,913 (NFC5-00- 017)	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	12/18/01	Sierra Patent Group, Tim Brisson	Maintenance Fee due 08/18/2005
6,363,190 (NFC5-99- 007)	Polarization Insensitive Fused Fiber Coupler Method and Apparatus	Peter Chen	03/26/02	Sierra Patent Group, Tim Brisson	Maintenance Fee due 09/26/2006
6,373,631 (NFC5-00- 018)	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	04/16/02	Sierra Patent Group, Tim Brisson	Maintenance Fee due 10/16/2006

6,373,604 (NFC1P016)	Optical MUX/DEMUX	Ping Xie	04/16/02	Cary & Kelly, Charles Cary	Maintenance Fee due 10/16/2005
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US Patent Applications Filed		Inventors		Date Filed		Application #		Responsible Firm and Attorney	
Identification	Title								
NFI0032 (10629-789)	Compact Optical Isolator Arrays	Ping Xie, Yonglin Huang		07/01/99	09/346,639			WSGR, David Abraham	Case has gone abandoned
NFI0042US (5717-01100)	Integrated Isolator Fused Coupler Method and Apparatus	Ping Xie, Yonglin Huang, Peter Chen		12/10/99	09/458,868			Conley, Rose & Tayon, Noel Kivlin	Reply to Office Action due 06/05/2002
NFCS-99-004	Microbend Fused Fiber Coupler Method and Apparatus	Peter Chen		12/22/99	09/471,583			Sierra Patent Group, Tim Brisson	Reply to Office Action due 04/30/02
NFC1P016X1	Passive Thermal Stabilization For An Optical MUX/DEMUX	Ping Xie		01/06/00	09/479,455			Cary & Kelly, Charles Cary	N/A
NFCS-99-005	Thermal Compensated Compact Bragg Grating Filter	Peter Chen		02/17/00	09/507,119			Sierra Patent Group, Tim Brisson	N/A
NFCS-99-003	A Miniature Dense Wavelength Division Multiplexer Using Microbend Couplers	Peter Chen		07/07/00	09/612,088			Sierra Patent Group, Tim Brisson	Reply to Office Action due 05/19/02
NFCS-00-011	Fiber Optical Pigtail Geometry For Improved Extinction Ratio of Polarization Maintaining Fibers	Ping Xie, Yonglin Huang, Sal Tiscareno		07/17/00	09/617,736			Sierra Patent Group, Tim Brisson	N/A
NFC1P018	Method and Apparatus for Compensating an Optical Filter	Brad Bettman, Ping Xie, Peter Chen		07/18/00	09/617,750			Cary & Kelly, Charles Cary	Notice of Allowability mailed by USPTO 04/04/02; Notice of Allowance will follow soon.
NFC1P028	A Method And Apparatus For Parallel Optical Processing	Ping Xie, Sal Tiscareno		09/12/00	09/659,803			Cary & Kelly, Charles Cary	N/A
NFCS-00-012	Improved Polarization Beam Combiner/Splitter	Ping Xie, Tim Day		09/12/00	09/660,258			Sierra Patent Group, Tim Brisson	N/A
10629-784	Optical Circulators Using Beam Angle Turners	Ping Xie, Yonglin Huang		09/08/00	09/658,854			WSGR, David Abraham	Reply to Office Action due 05/13/2002

NFCS-00-016	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xia	10/30/00	09/702,280	Sierra Patent Group, Tim Brisson	Reply to Office Action due 07/09/02
NFI0032 CNT (10629-795)	Compact Optical Isolator Arrays	Ping Xie, Yonglin Huang	10/13/00	09/687,574	WSGR, David Abraham	Reply to Office Action due 07/10/2002
NFCS-00-013	Precision Optical Filter With A Ball-End Joint	Ping Xie, Kevin Zhang, Robert Burn	11/14/00	09/713,634	Sierra Patent Group, Tim Brisson	N/A
NFC1P02BX1	A Method And Apparatus For Parallel Optical Processing For Dual Port Devices	Ping Xie, Sal Tiscareno	02/26/01	09/792,920	Cary & Kelly, Charles Cary	N/A
NFC1P039	Method And Apparatus For An Optical Filter	Ping Xie, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman, Nadim Matuf	06/11/01	09/879,026	Cary & Kelly, Charles Cary	N/A
NFI0096U (NFCS-00-020, NFCS-01-025)	Dual-Stage Optical Isolator Minimized Polarization Mode Dispersion And Simplified Fabrication Process	Yonglin Huang, Liren Du, Meng Ma, Shuyun Huang	07/05/01	09/800,092	Sierra Patent Group, Tim Brisson	N/A
NFI0095U (5717-01301)	Method And Apparatus For A Polarization Beam Splitter/Combiner With An Integrated Optical Isolator	Yonglin Huang, Shuqing (Mary) Ma, Meng (Maggie) Ma	07/05/01	09/800,091	Conley, Rose & Tayon, Noel Kivlin	N/A
NFCS-00-014	Optical Isolator With Reduced Insertion Loss And Minimized Polarization Mode Dispersion	Yonglin Huang, Ping Xie, Xin Luo, Liren Du	07/05/01	09/800,713	Sierra Patent Group, Tim Brisson	N/A
NFC1P039C1 P	Method And Apparatus For An Optical Filter	Ping Xie, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman, Nadim Matuf	08/31/01	09/844,037	Cary & Kelly, Charles Cary	N/A
NFCS-01-027	Method And Apparatus For Precision Tuning An Optical Filter Using A Ball-End Joint	Kevin Zhang, Ping Xie	08/28/01	09/841,474	Sierra Patent Group, Tim Brisson	Foreign Filing due 08/28/02
19829-802	Compact Polarization Insensitive Circulators with Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	08/31/01	09/844,593	WSGR, David Abraham	Received Notice of Publication 03/12/2002, Pub. No. US-2002-0024729-A1

NFI0130US (50923-2000-200)	Mismatched Mode Field Diameter Device	Ping Xie, Kevin Zhang	10/05/01	09/072.517	MOFO, Steve Durant	Foreign Filing due 10/05/02
NFI0131U (50923-2000-100)	Integrated Pump Combining Module	Ping Xie	10/05/01	09/972.527	MOFO, Steve Durant	Foreign Filing due 10/05/02
NFI0065 (5717-01601)	Fiber Optical Devices With Extra High Power Handling Capability	Yonglin Huang, Kevin Zhang, Ping Xie	01/08/02	10/042.935	Conley, Rose & Tayon, Noel Kivlin	N/A
NFI0069 (5717-01401)	Optical Polarization Beam Splitter/Combiner With Isolation In The Backward Optical Path	Yonglin Huang, Qi (Brian) Deng, Liran Du	02/14/02	10/075.333	Conley, Rose & Tayon, Noel Kivlin	N/A

Responsible Firm  
and Attorney

#### Foreign Applications Filed

		Ping Xie, Yonglin Huang	08/17/98	PCT/US99/18739	PCT Application	WSGR, David Abraham	Application filed in Japan and Europe
10629-785	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion (also covers Circulators Using Beam Angle Turners)	Ping Xie, Yonglin Huang	08/17/98	99942271.0	European Application	WSGR, David Abraham	N/A
10629-800 P010800EP MJH	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	08/17/98	2000-565436	Japanese Application	WSGR, David Abraham	N/A
10629-799	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	10/12/99	PCT/US99/23759	PCT Application	WSGR, David Abraham	Application filed in Europe
10629-790	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	05/11/01	99969250.2 (PCT/US99/23759)	European Application	D. Young & Co., Miles Haines	Annuitly due Oct. 2002
P011386EP MJH ZXM	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	09/27/00	PCT/US00/41022	PCT Application	D. Young & Co., Miles	N/A
NFC1P016W O	Optical MUX/DEMUX	Ping Xie					



P011438EP MJH ZXM	Optical MUX/DEMUX	Ping Xie	05/08/01	00992467.1 PCT/US00/41022	European Application	Haines D. Young & Co., Miles Haines	Annuity due Sep. 2002
5717-01101 (NFCS-99- 008PCT)	Integrated Isolator Fused Coupler Method And Apparatus	Ping Xie, Yonglin Huang, Peter Chen	12/05/00	PCT/US00/33051	PCT Application	Conley, Rose & Tayon, Noel Kivlin	National Phase filing due 06/10/02
NF0051PCT (NFCS-00- 011PCT)	Fiber Optical Pigtail Geometry For Improved Extinction Ratio of Polarization Maintaining Fibers	Ping Xie, Yonglin Huang, Sai Tiscareno	07/17/01	PCT/US01/22762	PCT Application	Sierra Patent Group, Tim Brisson	File response to opinions if any by 08/17/02; Ch. II, National Phase Filing due 1 month, 12/17/02
NF0058PCT (NFCS-99- 013PCT)	Precision Optical Filter With Ball-End Joint	Ping Xie, Kevin Zhang, Robert Burn	11/09/01	PCT/US01/51189	PCT Application	Sierra Patent Group, Tim Brisson	Correct Defecis due 05/04/2002; Ch. II Demand due 06/14/02; File response to opinions if any by 12/14/02
NFCS-00- 014PCT	Optical Isolator With Reduced Insertion Loss And Minimized Polarization Mode Dispersion	Yonglin Huang, Ping Xie, Xin Luo, Liren Du	10/05/01	PCT/US01/31680	PCT Application	Sierra Patent Group, Tim Brisson	Ch. II Demand due 05/13/02; File response to opinions if any by 11/13/02

NFI0095U (5717-01302) (NFC-01-024)	Method And Apparatus For A Polarization Beam Splitter/Combiner With An Integrated Optical Isolator	Yonglin Huang, Shuqing (Mary) Ma, Meng (Maggie) Ma	01/10/02 PCT/US02/00901	PCT Application	Conley, Rose & Tayon, Noel Kivlin	Ch. II Demand due 08/10/02; If Ch. II Demand not filed then National Phase filing due 09/10/02
NFI0039C1 PWO	Method And Apparatus For An Optical Filter	Ping Xia, Simon Wu, Yalan Mao, Wei Wang, Brad Beltman, Nadim Maluf	02/08/02 PCT/US02/03717	PCT Application	Cary & Kelly, Charles Cary	Ch. II Demand due 09/14/02; If Ch. II Demand not filed then National Phase filing due 10/14/02
NFI0069PCT (5717-01402) (NFC-01-025P)	Optical Polarization Beam Splitter/Combiner With Isolation In The Backward Optical Path	Yonglin Huang, Qi (Brian) Deng, Liren Du	02/14/02 PCT/US02/04215	PCT Application	Conley, Rose & Tayon, Noel Kivlin	Ch. II Demand due 09/14/02; If Ch. II Demand not filed then National Phase filing due 10/14/02

#### Provisional Applications

NFI01P039P	Low Dispersion, Low Channel Cross-Talk Interleaver	Ping Xia, Simon Wu, Yalan Mao, Wei Wang, Brad Beltman	07/05/01 60/303,705	Provisional Application	Cary & Kelly Charles Cary
NFI0150P (50923-3000-500)	Integrated WDM Coupler For Duplex Communication	Yonglin Huang, Shuqing Ma, Qi Deng, Bing Zheng	03/15/02 Not yet assigned	Provisional Application	MOFO, Steve Durant

Invention Disclosures

NFI0148 (NFC1P039X {})	Method And Apparatus For An Optical Multiplexer And Demultiplexer With An Optical Processing Loop	Ping Xie, Simon Wu, Haisheng Rong, Kevin Zhang, Yalan Mao, Wei Wang, Brad Bettman	Disclosure (application has been drafted)	Cary & Kelly, Charles Cary	May want to claim priority to Provisional 60/303,705 filed 07/05/01 or Utility 09/879,028 filed 08/11/01 and 09/944,037 filed 08/31/01
NFI0150 (50923-2000- 500	Integrated WDM Coupler For Duplex Communication	Yonglin Huang, Shuqing Ma, Qi Deng, Bing Zhang, Liren Du	Disclosure (application has been drafted)	MOFO, Steve Durant	Will want to claim priority to Provisional filed on 03/15/02
NFI0162	Hybrid Cell	Tengda Du, Xin Luo, Ping Xie, Evan Green	Disclosure		
NFI0163	PM Coupler	Jian He, Ping Xie	Disclosure		
NFI0164	PDL Loop	Jian He, Ping Xie, Chester Chien	Disclosure		
NFI0165	High Channel Isolation WDM	Zhicheng Li, Yingsong Wang	Disclosure		
NFI0166	Array PBC	Qi Deng, Liren Du, Shuqing (Mary) Ma, Bing Zhang, Xiwen Wang, Yonglin Huang	Disclosure		
NFI0167	OADM and Array OADM	Liren Du, Xiwen Wang, Bing Zhang, Qi (Brian) Deng, Shuqing (Mary) Ma, Yonglin Huang	Disclosure		

NFI0168	Optical Polarization Beam Combiner and Isolator Array Polarization Beam Combiner and Isolator	Qi (Brian) Deng, Xiwen Wang, Bing Zhang, Liran Du, Shuqing (Mary) Ma, Yonglin Huang			Disclosure		
NFI0169	Collimator with Ball-Joint for Better Optical Alignment and Bonding	Qi (Brian) Deng			Disclosure		